

# *Commonwealth of Virginia Appalachian Regional Commission*



## **2008** | 2008 ARC Asset-Based Development Initiative **Funding Strategy and Request for Proposals**



Virginia Department of Housing  
and Community Development

The Jackson Center • 501 North Second Street • Richmond, VA 23219

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# **VIRGINIA APPALACHIAN REGIONAL COMMISSION PROGRAM**

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The Appalachian Regional Commission, or ARC, is an independent Federal agency created through the Appalachian Regional Development Act of 1965. ARC's mission is to be an advocate for and partner with the people of Appalachia to create opportunities for self-sustaining economic development and improved quality of life.

Virginia is one of thirteen states in the ARC region. The Appalachian Regional Commission programs, other than the Highway program, are administered in the Commonwealth of Virginia by the Virginia Department of Housing and Community Development. The Virginia ARC Program is managed by:

**William C. Shelton**

Director  
ARC State Alternate

**Todd M. Christensen**

Deputy Director  
ARC Program Manager

***Contacts for the 2008 Asset-Based Development Program Competition:***

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## Counties

Alleghany County  
Bath County ♦  
Bland County  
Botetourt County ●  
Buchanan County □  
Carroll County □  
Craig County  
Dickenson County \*  
Floyd County  
Giles County  
Grayson County □  
Highland County  
Lee County □  
Montgomery County □  
Pulaski County  
Rockbridge County  
Russell County  
Scott County  
Smyth County □  
Tazewell County  
Washington County  
Wise County □  
Wythe County

## Cities

City of Bristol  
City of Buena Vista  
City of Covington  
City of Galax  
City of Lexington  
City of Norton  
City of Radford

Virginia receives funding from the Appalachian Regional Commission on an annual basis and through special initiatives for distribution in these localities. Virginia prepares a State Strategy on an annual basis which guides its use of ARC funding.

*\* This County is designated as a Distressed County by ARC*

*□ This County is designated as a At-Risk County by ARC*

*● This County is designated as an Attainment County by ARC*

*♦ This County is designated as a Competitive County by ARC*

# VIRGINIA ARC ASSET-BASED DEVELOPMENT INITIATIVE

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In 2005, ARC introduced the Asset-Based Development Initiative with the goal to build a strong and sustainable asset-based economy, bringing jobs and prosperity to Appalachian communities while preserving their character. Replacing the previous Entrepreneurship Initiative, this program seeks to develop the cultural, natural, community, structural, and local business and economic assets of the Region. Virginia will direct funding into two programs under the 2008 Regional Initiative: the Virginia ARC Telecommunications Initiative and the Virginia ARC Asset-Based Development Initiative.

Asset-based development does *not* focus on filling gaps in the development landscape, or on the provision of amenities, which often occurs at the expense of leveraging unique assets and community strengths. For example, supporting a unique community asset like the Carter Family Fold is a compelling asset-based activity, while engaging with local wellness centers, which are not unique to the Region and are based in many mid-sized communities, would not. In general, support for local ballets, provision of water or sewer lines, and studies for access roads do not fit well into an asset-based development framework.

## Outcome-Based Implementation

Virginia's ARC Asset-Based Development Initiative program will be implemented on an outcome basis. Virginia, along with ARC, views its role as that of an investor. In the outcome context, proposals must demonstrate a direct relationship between intended project efforts and measurable, tangible improvements to the economic health of the community being served. Proposals must clearly present performance targets, products, and outcomes. Performance targets are the key events and milestones in the implementation of a project. Products are the near-term results of a project, such as the number of participants in training events or number of businesses receiving assistance. Outcomes are the long-term results of a project, such as the number of new businesses created and the number of new jobs created or retained. Virginia ARC ABDI budgets and contracts must be based on performance targets and products. Examples of performance measures can be found in Appendix B.

## Implementation Strategy

Approximately \$170,000 is available in this round of funding for ARC Regional

Initiatives. Virginia will fund both Asset-Based Development and Telecommunications Initiative projects from this funding pot. DHCD reserves the option to add additional ARC funds, if available. Final funding figures will be based on Virginia's ARC allocation pending federal budget approval for fiscal year 2008.

Proposals must be submitted to DHCD (or postmarked) by **Wednesday, September 26, 2007**. Proposals should target project implementation. The maximum amount of Virginia ARC ABDI assistance available to **Distressed Counties is \$40,000**. The maximum amount of Virginia ARC ABDI assistance available to **Transitional and Competitive Counties is \$30,000**.

## Required Match

All Virginia ARC ABDI assistance must be matched **dollar for dollar or 50% match** with local (non-Federal, non-State) funding, except in the following localities:

- Bath County - Must provide 70% match for 30% ARC ABDI
- Dickenson County - Must provide 20% match for 80% ARC ABDI

## Eligible Projects

Implementation of projects which address one of the five key elements of asset-based development are eligible, including:

### *Cultural Assets*

Promotion of arts, culture, and heritage products or businesses; examples are:

- Creating heritage trails
- Developing apprenticeship programs
- Supporting locally-based entrepreneurs
- Marketing / branding of cultural assets
- Support for "greening" of traditional industries

### *Natural Assets*

Capitalizing on the Region's mountains, rivers, forests, and lands (ecological assets) to promote economic development or to diversify the local economy; examples are:

- Promotion of outdoor sports and recreation
- Value-added farming, organic farming
- Sustainable timbering and value-added processing
- Development of communities as gateways to cultural amenities

### *Leadership/Community Assets*

Training and preparation of local sparkplugs to be civic leaders; examples are:

- Business / leadership programs
- Technical assistance to establish boards or governing bodies

### *Structural Assets*

Utilizing the existing built-environment

- Brownfield redevelopment; examples are:
- Finding new uses for old buildings, such as conversion of overlooked and underused facilities into business or commercial centers, business incubators, or educational uses
- Targeted aspects of downtown revitalization

## ***Business / Economic Assets***

Supporting local existing and expanding businesses; examples are:

- Innovative finance mechanisms
- Educating current and future entrepreneurs
- Physical or operational assistance to a small business incubator that provides a broad array of entrepreneurial assistance services
- Market research and feasibility studies to identify potential areas for new business or business expansion
- Product development assistance resulting in the creation of new businesses and / or jobs

## **Ineligible Projects**

The following types of proposals will be considered ineligible for 2008 Virginia ARC ABDI funding:

- Those that do not support the ARC goals for the Asset-Based Development Initiative, including those targeting assistance for non-local businesses
- Those that do not present clear outcomes for the Virginia ARC ABDI investment
- Those that do not add significantly to currently available resources

## **Eligible Applicants**

Non-profit organizations, educational institutions, Local Development Districts (Planning District Commissions), and

state and local governmental entities are eligible to apply for Virginia ARC ABDI funding. Private organizations or for-profit businesses are not eligible to apply.

## **ARC Resources**

Applicants are encouraged to visit the ARC website at: [www.arc.gov](http://www.arc.gov) . This site contains numerous data sets, research reports, and links to other sources of information.

## **Proposal Submission**

It is strongly suggested that applicants contact DHCD to discuss the submission of their proposal. This discussion will ensure that the applicant's proposed idea is eligible and will provide insight regarding DHCD's investment philosophy on the proposed project. **An original and four (4) copies of the proposal must be received or postmarked by 5:00 pm on Wednesday, September 26, 2007.**

All proposals must contain direct responses to all required items, must be printed in a font size no smaller than 12 point, and must provide well organized information in the form of complete sentences, proper paragraphs, and bulleted lists, charts and tables, where appropriate. Only relevant attachments should be included and these should be organized as requested.

**All proposals should be assembled using a binder clip.** Please do not assemble proposals using staples, 3-ring notebooks, or other forms of binding.

Applications must be assembled in the order that is shown in the RFP guidelines, according to sections. Please do not use tabs when assembling applications.

Pages must be numbered for the entire application (to include attachments, budget forms, and so forth). Pages should be numbered continuously throughout the application; do not restart numbering at the beginning of new sections.

## Timetable

The Department anticipates completion of proposal reviews by late November 2007. Notice of funding decisions should follow in early 2008. All proposals should include performance targeting, products, and outcomes which can be achieved within a one year contract. Some long-term outcomes may be projected for up to one year beyond ARC ABDI contract expiration, but must be tracked. **Proposals should assume the receipt of contracts and initiation of activities by August 2008.** The start date should be projected to be no earlier than August 1, 2008.

## Planning District Commission Review

Copies of Virginia ARC ABDI Proposals must be provided to the local Planning District Commission (Local Development District). **This should be submitted to the PDC no later than September 14, 2007.** The purpose of this requirement is to keep the PDC informed of potential projects. The

PDCs are also available to assist applicants in developing projects. The PDC role is not to accept, reject, or otherwise screen these proposals.

### **Lenowisco PDC**

Mr. Ronald C. Flanary  
6913 Duff-Patt Road  
P.O. Box 366  
Duffield, Virginia 24244  
Phone: (276) 431-2206

### **Cumberland Plateau PDC**

Mr. Jim Baldwin  
P.O. Box 548  
Lebanon, Virginia 24266 Phone:  
(276) 889-1778

### **Mount Rogers PDC**

Mr. David Barrett  
1021 Terrace Drive  
Marion, Virginia 24354 Phone:  
(276) 783-5103

### **New River Valley PDC**

Mr. David Rundgren  
6580 Valley Center Drive  
P. O. Box 21  
Radford, Virginia 24141  
Phone: (540) 639-9313

### **Roanoke Valley-Alleghany PDC**

Mr. Wayne Strickland  
P. O. Box 2569  
Roanoke, Virginia 24010  
Phone: (540) 343-4417

### **Central Shenandoah PDC**

Mr. A. Ray Griffith, Jr.  
112 MacTanly Place  
Staunton, Virginia 24401  
Phone: (540) 885-5174

# PROPOSAL FORMAT

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## Section 1 – Cover Sheet

**Project Name**

**Applicant Contact Information**

**Person Who Prepared this Application**

**Project Location**

**Census Tracts Served**

**Project Funding Summary**

**DUNS NUMBER**

## Section 2 – Project Proposal Summary

Using the enclosed template, please complete the Project Proposal Summary. This is limited to two-pages in length. Outputs/Outcome measures must include ones as appropriate from the listing in Appendix B for the relevant ARC Goal Area.

**NOTE:** The ARC Summary should be completed exactly as requested since it will be submitted to ARC. If it is completed incorrectly, you will be requested to revise it and this step could hold up the submittal of your project to ARC.

## Section 3 – Project Narrative

### *Project Support of ARC Goals and Virginia's Objectives and Strategies:*

Indicate which of the following four ARC Goals the proposed project will address:

- 1) Economic Development and Job Creation,
- 2) Health, Education, and Training,
- 3) Infrastructure,
- 4) Appalachian Development Highway System.

*While projects may address more than one ARC Goal, choose the one that most closely fits your project.*

Further indicate the State Objective (there is one for each goal) to be addressed by the project. List the Strategies by number and write out the full Strategy (do not just provide the number). For example, in a project including creation of a workforce training program for a needed degree program, the ARC Goal would be Goal 2: Health, Education, and Training, and the State Objective would be “2.6 - Implement work force readiness programs that will ensure students are given the necessary skills to enable them to find and hold jobs.” Consult the draft 2008 Virginia ARC Annual Strategy for additional information on the Goals and Virginia's Objectives and Strategies.

## ***Project Description and Products:***

Briefly describe the activities to take place during the life of the proposed project for which you are seeking Virginia ARC ABDI funding. How many jobs will be created or how many new businesses will be created? What training or assistance efforts will be undertaken and how many individuals or organizations will participate? How many buildings / structures will be reconditioned or revitalized? Consult **APPENDIX B** for examples of project Products. With few exceptions, Products should occur within a one year contract period. **Proposals must include an ARC Project Summary as Section #2.**

*Consult Appendix B for examples of project products (outputs). Output measures must be selected from this list. Additional outputs may be listed, however, each project must select outputs noted in Appendix B. Outputs must be listed using specific and absolute numbers. Percentages may be used to supplement the application, but quantifiable figures MUST be used.*

## ***Project Outcomes and Challenges / Issues to be Addressed:***

Detail the specific long-term benefits, or outcomes, of this project. Describe how utilizing, promoting, and/or enhancing the area's assets will work to increase economic activity to a measurable degree. Quantifiable diversification of the local economy relative to efforts establish tourism-based destination points to increase tourism-related visits, create complementary businesses, and increase the revenue stream into the area are examples of outcomes that meet the Asset-Based Development criteria. Indicate the NEED for the project, specifying both the need for Virginia ARC ABDI funding as

well as the challenges and opportunities the project will address. Any relevant data derived on plans, studies, statistics, or surveys should be included. The sources of such data should be cited (title, date, page numbers). Explain how the proposed project leveraged resources to revitalize the community. Some project outcomes may be projected for up to one year after contract termination, but must be tracked if identified.

*Consult Appendix B for examples of project Outcomes. Outcome measures must be selected from this list. Additional outcomes may be listed, however, each project must select outcomes noted in Appendix B. Outcomes must be listed using specific and absolute numbers. Percentages may be used to supplement the application, but quantifiable figures SHOULD be used.*

## ***Performance Targets and Work Plan:***

Create a three column table. In column one, provide the sequence of key events and milestones in accomplishing the project (performance targets), including the identification of project and quantification of project benefits. In column two, indicate the cost that corresponds with that particular milestone. In column three, list the projected start and/or completion dates for each event and milestone.

The established timetable should show implementation within a 12-month period following receipt of a Virginia ARC ABDI contract. **With few exceptions, no timetable should show initiation of project activities, especially those targeting the use of Virginia ARC ABDI funding, prior to August 2008.** This should allow more than enough time for all

precontract issues to be resolved between the applicant, DHCD, and ARC. A sample table depicting the performance targets and work plan for an entrepreneurial training program follows:

<u>Performance Target</u>	<u>Cost</u>	<u>Date(s)</u>
<i>Solicitation of input on rails to trails program</i>	\$ 500	8/15/08
<i>Identify and complete necessary infrastructure improvements</i>	\$ 20,000	8/15/08 –11/15/08
<i>Development of a marketing materials</i>	\$ 3,000	9/15/08 –12/15/08
<i>Provision of financial assistance to 3 new businesses</i>	\$ 30,000	1/30/09 –3/30/08
<i>Document success of new business starts</i>	\$ 1,000	3/30/09 – 5/14/09
<i>Document increase in tourist-related visits</i>	\$ 1,000	3/30/09 – 7/14/09

### ***Project Beneficiaries:***

Provide the number of persons to be served within one year of project completion and provide a discussion of the methodology used to derive this number. **Provide attachments in support of these beneficiary claims in this section.** As this number is used in scoring ARC proposals, DHCD reserves the right to make adjustments to claimed numbers or ask for supplemental information.

### ***Relation to Other Local / Regional Activities:***

Discuss how this project is related to other local / regional activities. Describe how the project meets priorities of local or regional economic development plans. Detail efforts to coordinate with other ongoing activities.

### ***Project Location:***

Indicate which locality (or localities) covered by project benefits and, where possible, the specific location to be impacted by the project as defined by place name,

boundaries, building, or other features. Provide a description of either: (a) the geographic area for services and benefits where clients are in relatively close proximity, or (b) the client service area when residency may be scattered over a wide area. Indicate if the county in which the project is located is an ARC Distressed County. The Virginia county with this status is Dickenson.

### ***Census Tract Information:***

Provide map of project service area with census information overlaid or provide list of all census tracts in service area. Census information should be from the 2000 Census. If your project only serves part of a Transitional County, be very clear about which census tracts are included.

### ***Maps:***

For all projects, provide a map within at least a 10-mile radius, clearly showing roads or appropriate service area; and for projects providing site improvements, a site map showing proposed improvements, including affected or proposed buildings or facilities, water and sewer lines, water storage tanks,

treatment plants, drainage improvements, access roads, location of assisted industry(ies) on site plan, etc. Include other maps as necessary.

ALL maps should be LEGIBLE and contain a scale which is clearly marked on the map.

### ***Leveraged Private Investment:***

Identify private sector commitments that follow as a result of the completion of this project. Estimates for the leveraged private investment and associated job impacts for a three-year period following the completion of this project should be included. Letters of commitments by private companies should be included. Leveraged private investment should not be confused with any direct private contribution to the ARC supported project funding (any funds that are actually a part of the project cost).

For example: Amount of private funds invested in relocation to the project area / region by Business X due to the installation of and access to telecommunications / fiber optics.

### ***Readiness:***

Explain how this project is ready to proceed. Why is now the appropriate time to undertake this effort? What steps have been taken to get the applicant and its proposed beneficiaries ready for this project? Is there an appropriate level of energy and degree of will among the organization and its partners to see this effort through to completion?

### ***Capacity:***

Provide the names and profiles of the individuals who will be responsible for delivering the project's services. Provide the name and profile of the individual with the most project responsibility first, followed by information on the person with the next highest level of responsibility, and continue in this order until all relevant individuals have been identified. Identify the skills, knowledge, and attributes each individual possesses and the value these provide to the overall project effort. Provide information, where applicable, on how the different attributes of the different individuals may be complementary. Identify any roles which have not yet been filled.

Identify those individuals, organizations, and community partners including names and telephone numbers, which have committed to support implementation and completion of this project. Provide information on the type and level of support provided and the value of this support to the overall project. Identify any individuals expressing an interest in participating as a project beneficiary, providing, also, their names and telephone numbers.

### ***Sustainability:***

Explain why Virginia ARC ABDI funding is required for this project. Would the Virginia ARC ABDI funding enable a project which would not otherwise be possible? Is the state or local government committed to providing on-going support? Are there private sector partners that will continue to provide funding? How important is the Virginia ARC ABDI funding to this project? Will the project generate income to support on-going operations? Discuss, also, the plans for continuation of the project following Virginia ARC ABDI funding.

How will this project become self-sustaining?

### ***Letters of Benefit Commitment:***

Include letters and other documentation which provide confirmation that the project will benefit the number of individuals it is targeting. Applicants are strongly encouraged to solicit letters from proposed beneficiaries. Letters from potential project partners should be included as evidence of additional project support.

Include letters and other documentation from individuals and organizations to provide direct support in the implementation of the project. This documentation should detail the nature of the support to be provided. Include, also, general letters and other documentation from individuals and organizations providing passive support (“we support the idea”, “we think this would be useful”, and so on).

## **Section 4 – Budget Information**

### ***Cost Summary:***

Enter the amount of resources to be included in this project in simple table form. Specify the amounts for each of the following categories and the percentage of the total project cost each represents: **ARC, Local/Applicant, Other Federal, State, Private, and Non-Profit/Other**. In this table, add the amounts in these categories to develop a Total figure and add the percentages to arrive at 100%. **THESE AMOUNTS, SOURCES, AND PERCENTAGES SHOULD BE IDENTICAL TO THOSE LISTED IN**

LATER SECTIONS OF THE PROPOSAL FORMAT.

A sample table is as follows:

<u>Source</u>	<u>Amount</u>	<u>Percentage</u>
ARC	\$30,000	50%
Local	\$15,000	25%
<u>Private</u>	<u>\$15,000</u>	<u>25%</u>
TOTAL	\$60,000	100%

### ***Status of Other Funding:***

Indicate the current status of all non-ARC funds to be used on the project. List the general categories from the **Project Funding Summary** on this proposal’s cover sheet and the specific funding sources under these categories (Federal – USDA, HUD, and so on; Local – Town, Non-Profit, and so on). **SPECIFY THE AMOUNT ANTICIPATED FROM EACH SPECIFIC SOURCE**. Provide information on the project’s position within the funding cycles of each source, the anticipated timing for release of each source of funding, the level of funding commitment received to date (firm; not contingent on future approval), and adequate, specific supporting documentation (recent letters, contracts, or resolutions). **Letters of commitment and other documentation of other funding should be included.**

### ***Project Budget:***

Using the Budget format from **APPENDIX D** as a guide, construct a project budget. The budget should, as the name suggests, show **ALL** sources of funding and the use of this funding relative to each **Performance Target**.

### ***Derivation of Costs:***

Detail the methodology used to determine each amount listed in the project budget. List each activity and activity component, their related cost estimates, and those unit costs or otherwise which provide the basis for these estimates. Identify the information sources and/or methodologies used to generate these cost estimates and give the dates that the estimates were developed.

**Documentation from these information sources in support of the cost estimates should be included.** Costs will be reviewed for reasonableness. If there are conditions exerting upward pressure on your costs, please explain.

### ***Letters of Non-ARC Funding***

#### ***Commitment:***

Letters, or other documentation showing a clear level of commitment of non-ARC ABDI resources from the entities responsible for providing such funding. If such commitment is contingent on board approval, then a copy of the resolution from the board should be included.

***Cost Documentation:*** Include excerpts and analyses from appropriate sources for cost information. Where possible, include cost documentation which originates from reputable, objective, and independent sources.

District Commission (Local Development District). **This should be submitted to the PDC no later than September 14, 2007.**

The purpose of this requirement is to keep the PDC informed of potential projects. The PDCs are also available to assist applicants in developing projects. The PDC role is not to accept, reject, or otherwise screen these proposals.

## **Planning District Commission Review**

Copies of Virginia ARC ABDI Proposals must be provided to the local Planning

# APPENDIX A – COVER SHEET

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**Project Name:** \_\_\_\_\_

**Applicant Contact Information:**

Locality/Organization Name: \_\_\_\_\_

Address \_\_\_\_\_

Phone/FAX Numbers: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Title: \_\_\_\_\_

Phone/Fax Numbers of Contact: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

**Person Who Prepared this Application:**

Name: \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Phone/FAX Numbers: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

**Project Location:** (specify County (ies)/City(ies))

**Census Tracts Served by this Project:**

**Project Funding Summary:**

Source

Amount

Percentage

Total:

DUNS Number: \_\_\_\_\_



# APPENDIX B – PRODUCTS AND OUTCOMES

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## Goal 1 – Economy

### *Measures:*

#### ENTREPRENEURSHIP/BUSINESS INCUBATOR

Output Measurement – number of

- ☐ *participants*
- ☐ *businesses served / assisted (existing and new)*

Outcome Measurement – number of

- ☐ *new businesses created or graduated*
- ☐ *jobs created*
- ☐ *jobs retained*
- ☐ *Leveraged Private Investment*
- ☐ *participants with improved skills or completed program (such as course with certified skills)*

#### EXPORT

Output Measurement – number of

- ☐ *participants*

Outcome Measurement – increase in

- ☐ *export dollars*

#### HIGH VALUE, HIGH WAGE EMPLOYMENT OPPORTUNITIES

Output Measurement – number of

- ☐ *new/revised strategic plans*

Outcome Measurement – number of

- ☐ *jobs created*
- ☐ *jobs retained*

#### TELECOMMUNICATIONS

Output Measurement – number of

- ☐ *participants*
- ☐ *businesses hooking on*

Outcome Measurement – number of

- ☐ *new telecommunications sites serving 50 clients per week offering telehealth, distance learning, governmental or business applications*
- ☐ *number of trainees with improved skills*
- ☐ *miles of infrastructure or new technology deployed*

## TOURISM DEVELOPMENT

Output Measurement – number of

- ☐ *businesses assisted*

Outcome Measurement – number of

- ☐ *jobs created*
- ☐ *Leveraged Private Investment*
- ☐ *“new” tourists*
- ☐ *revenue generated*

## Goal 1 – Health and Educations

### ***Measures:***

**WORKERS** receiving *basic education, skills training, skills upgrading or customized training*.

Output Measurement – number of workers

- ☐ *participating in skills training activity*

Outcome Measurement – number of workers

- ☐ *obtained employment*
- ☐ *retained employment*

**STUDENTS** participating in *school readiness, dropout prevention, school-to-work transition and GED* programs.

Output Measurement – number of students

- ☐ *participating in educational activity*

Outcome Measurement – number of students

- ☐ *obtained a GED (within 1 year)*
- ☐ *graduated from high school (at-risk dropouts)*
- ☐ *completed a school readiness activity and tested on grade level entering kindergarten*
- ☐ *entered college after high school (within 1 year)*
- ☐ *entered workforce after participating in school-to-work program (within 1 year) (school/college students)*

## **TELECOMMUNICATIONS**

Output Measurement – number of

- ☐ *students*
- ☐ *workers*

Outcome Measurement – number of

- ☐ *new telecommunications sites serving workers/students per week*

## **HEALTH CARE PROFESSIONALS RECRUITMENT**

Output Measurement – number of

- ☐ *health care professionals recruited*
- ☐ *annual patient office visits*

Outcome Measurement – number of

- ☐ *patients with improved health care*

## **INTEGRATED HEALTH CARE DELIVERY**

Output Measurement – number of

- ☐ *participants*

Outcome Measurement – number of

- ☐ *participants with improved health*

## Goal 3 - Infrastructure

### *Measures:*

#### WASTE/SEWER/WASTE DISPOSAL SYSTEM

Output Measurement – number of

- ☐ *linear feet*
- ☐ *businesses served*
- ☐ *increase in capacity or storage*

Outcome Measurement – number of

- ☐ *households served (new)*
- ☐ *jobs created*
- ☐ *jobs retained*
- ☐ *Leveraged Private Investment*

#### INDUSTRIAL PARK/COMMUNITY REVITALIZATION

Output Measurement – number of

- ☐ *Linear feet installed*
- ☐ *businesses served*
- ☐ *housing units*

Outcome Measurement – number of

- ☐ *jobs created*
- ☐ *jobs retained*
- ☐ *housing units*
- ☐ *Leveraged Private Investment*

#### TELECOMMUNICATIONS

Output Measurement – number of

- ☐ *participants*
- ☐ *businesses served*
- ☐ *jobs created / retained*

Outcome Measurement – number of

- ☐ *new telecommunications sites offering telehealth, distance learning, governmental or business applications*
- ☐ *Leveraged Private Investment*

## Goal 4 – ADHS System

### *Measures:*

#### ADHS CORRIDOR DEVELOPMENT

Output Measurement – number of

- ☐ *new revised strategic plans*

Outcome Measurement – number of

- ☐ *jobs created*
- ☐ *jobs retained*

Most projects have straightforward performance measurements that are based on ARC outcome measures. For example:

- **Natural Asset** projects can usually be measured in terms of jobs created, business formation, and leverage private investment.
- **Cultural Asset** projects may use market or feasibility studies to estimate increased visitor traffic or projected revenues.
- **Leadership / Community Assets** products can be measured by terms of the number of participants, while long-term outcomes can be measured by the number of trainees with documented improvements. It is preferred to have *trainees be certified by the trainer / provider* in contrast to just reporting the number of persons trained or participating.
- **Structural Assets** projects can typically be measured through job and business creation outcomes.
- **Business / Economic Assets** projects can often be measured through job and business creation, along with projected revenues or leveraged private investment, or number of persons trained

These performance measurements are not all inclusive, they are only meant to serve as a guide.



# APPENDIX C – PROJECT SUMMARY FORMAT

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(2 page maximum)

Project Title:

Project Grantee: Provide name, address, and contact information, including email.

County(ies) to be Served: List each county and its designation (e.g. transitional, distressed, etc.)

List the Distressed Area Census Tracts – Use the *County Economic Status and Distressed Area* report in your packet

Basic Agency: Not required for non-construction projects

Goal/Strategy: Identify the primary ARC Goal and State Objective which the project will address. Specify the State Strategies by number

Purpose: 1-2 sentence statement describing overall purpose of proposed project

Funding:

	<u>Amount</u>	<u>%'age</u>	<u>Source</u>
ARC	\$40,000	66.8 %	ARC ABD
State	10,000	16.6 %	VEI
<u>Local</u>	<u>10,000</u>	<u>16.6 %</u>	<u>Local Government</u>
<b>Total</b>	<b>\$60,000</b>	<b>100 %</b>	

Description: Description of major activities to be conducted under grant proposal. The description should address who, what, where, when and how for each major activity.

Rationale:

- Critical circumstances that compel project to be funded
- Local, regional and/or state need for project
- Problems and/or issues that project will alleviate
- Why this project is a good investment of ARC funds and why the ARC funds are necessary

Benefit:

- Results and accomplishments to be derived from project
- Other non-quantifiable benefits (e.g. new partnerships, improved standard of living, etc.)

Output/Outcome:

- Identify output and outcome measurements (as defined by ARC, see Appendix B)
- Identify Outcomes of this proposal (as defined by ARC, see Appendix B)

Leveraged Private Investment:

- Identify anticipated private sector commitments (with associated dollar amounts) and associated job impacts that follow as a result of this project for a three-year period following completion of the project.  
*Does not apply to Planning Projects.*

## **APPENDIX D – BUDGET FORM**

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# BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

  

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$

  

7. Program Income	\$	\$	\$	\$	\$
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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

## INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in *Column* (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

*For new applications*, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

*For continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

*For supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

### Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Line 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program

## INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

### Section C. Non-Federal Resources

**Lines 8-11** Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

### Section D. Forecasted Cash Needs

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.